

**At-Risk Case Management Services  
Program Compliance Monitoring Plan  
for  
Division of Aging and Adult Services and Division of Social Services**

**Purpose**

The purpose of this plan is to establish a monitoring process for Medicaid funded At-Risk Case Management Services (ARCMS). The plan will help to ensure the integrity of this program and that subrecipients utilizing this funding source are in compliance with applicable laws and regulations and stated results and outcomes. The plan will also provide baseline data to determine if there is inappropriate utilization of this funding source by providing cumulative results using the monitoring tool. The cumulative results gathered from all counties monitored within a six month timeframe may show areas of performance that may require additional consultation and training.

**Program to be Monitored**

At-Risk Case Management Services (ARCMS)

At-Risk Case Management Services is a Medicaid reimbursable targeted case management service provided by county departments of social services. It is used for both Adult and Child Welfare Services. The Divisions of Aging and Adult Services (DAAS) and Social Services(DSS) will be responsible for carrying out this monitoring. This plan addresses how the ARCMS monitoring is carried out.

**Subrecipients to be Monitored**

Subrecipients are defined as County Departments of Social Services who are certified ARCMS providers and are receiving Medicaid reimbursement for the purposes of the ARCM monitoring plan.

**Monitoring Staff**

Program Compliance staff of DAAS and DSS are responsible for monitoring ARCMS

**Monitoring Tools**

The standardized monitoring tool is based on applicable laws and regulations that govern this program. The At-Risk Case Management monitoring tool and instructions are included with this monitoring plan.

**Monitoring Schedule**

On-site monitoring for ARCM services will begin in SFY-07. Management and monitoring staff of DAAS and DSS will determine the schedule for subrecipients monitoring. ARCMS monitoring will be scheduled in conjunction with other planned monitoring. Each monitoring team may monitor different counties at

different times and may not monitor the same county in the same fiscal year. Each team will schedule no more than 25 subrecipients for monitoring each fiscal year.

On-site monitoring is conducted over a multi-year time period for all subrecipients. The proposed multi-year monitoring schedule for ARCMS is as follows:

## **ARCMS**

SFY-07 – not more than 25 subrecipients (each division)

SFY-08 – not more than 25 subrecipients (each division)

SFY-09 – not more than 25 subrecipients (each division)

SFY-10 – not more than 25 subrecipients (each division)

Total: 100 subrecipients (see note)

**note:** Although there are 100 County Departments of Social Services, not all are certified ARCMS providers and of those certified, some may not be providing ARCMS or may elect not to report expenditures and would therefore not be monitored for ARCMS.

## **Monitoring Sample**

Monitoring staff of Adult Services and monitoring staff of Family Support/Child Welfare Services will each monitor five (5) records per county visited in their schedule. The Division of Social Services Performance Management/Report and Evaluation Management will provide a random sample of clients for whom the counties have reported services on the Day sheet (DSS-4263), from the three previous months prior to the month in which the monitoring occurs. In the event that the sample size can not be obtained within the three previous months, the monitors will go back as far as necessary to procure the appropriate sample size. In the event that there are fewer records to be monitored than the sample size, all available records will be monitored.

## **Monitoring Process**

Subrecipients will be notified of the sample of records selected for review prior to the scheduled monitoring dates. This monitoring will occur on-site at the county department of social services in order to review the programmatic records identified in the sample. Prior to conducting the on-site visit, the monitoring staff will review any findings and follow-up from previous deficiencies and/or corrective action plans, findings from any monitoring conducted by the Division of Social Services fiscal consultants, information from the DHHS Monitoring Database, and any other relevant reports or information. Records will be reviewed using the standardized ARCMS tool.

## **Reporting Findings and Follow up**

Once the on-site monitoring is completed, results, as determined through the use of the At Risk Case Management monitoring tool, will be summarized and communicated to the county during the exit conference. The At Risk Case Management Record Review Exit Conference Tool will identify any areas indicating a need for improvement.

Staff conducting the monitoring will utilize the At Risk Case Management Record Review Exit Conference Tool to assist the county department of social services to develop a plan if needed and will indicate if additional training is needed to address specific problems. Adult and Children's Programs Representatives (APRs and CPRs), assigned to the county department of social services will follow up on the plan to determine that all areas needing improvement have been addressed.

Aggregate results of the monitoring will be reported to the Division of Medical Assistance on a semi- annual basis. This report will represent a broad picture of problems identified and areas where additional training and consultation are required. The report will establish a baseline to assist in determining level of risk due to inappropriate utilization of ARCMS.

After cumulative data from the first six months are collected, the monitoring plan may be adjusted to increase or decrease the sample size depending upon results of the monitoring.

## **Maintenance of Monitoring Documentation**

Monitoring tools, written reports and related correspondence for ARCMS monitoring will be maintained by DAAS and DSS. Records will be maintained according to North Carolina's records retention policy.

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